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Published

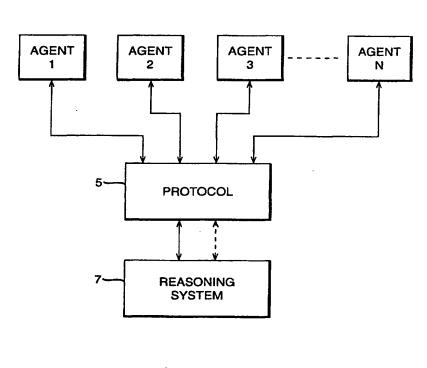
With international search report.

Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

(54) Title: METHOD AND APPARATUS FOR NEGOTIATING USING AN ELECTRONIC COMMUNICATION NETWORK

(57) Abstract

Parties negotiate using an electronic network, such as the world wide web. A set of hypotheses describing the negotiation is generated, either at a central location or by one of the parties. The hypotheses are each associated with a confidence value. For example, the hypotheses may describe the types of parties negotiating, or their objectives. The negotiation can then be controlled using the confidence values, either by using the confidence values to control the protocol (framework) of the negotiation, or by one of the parties basing its negotiating strategy on the confidence values. The confidence values, and even the hypotheses themselves, can be updated according to observations during the course of the negotiation.



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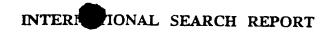
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A. CLASSIFICATION OF SUBJECT MATTER IPC 7 G06F17/60 According to International Patent Classification (IPC) or to both national classification and IPC B. FIELDS SEARCHED Minimum documentation searched (classification system followed by classification symbols) IPC 7 G06F Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched Electronic data base consulted during the international search (name of data base and, where practical, search terms used) C. DOCUMENTS CONSIDERED TO BE RELEVANT Category ° Citation of document, with indication, where appropriate, of the relevant passages Relevant to claim No. X WO 98 43190 A (IBM) 1-23 1 October 1998 (1998-10-01) page 8, line 1 -page 12, line 34 P,X JUNG D ET AL: "An architecture for 1-23 distributed cooperative planning in a behaviour-based multi-robot system" **ROBOTICS AND AUTONOMOUS** SYSTEMS, NL, ELSEVIER SCIENCE PUBLISHERS. AMSTERDAM. vol. 26, no. 2-3, 28 February 1999 (1999-02-28), pages 149-174, XP004159058 ISSN: 0921-8890 page 154, column 2, line 21 -page 155, column 2, line 25 -/--Further documents are listed in the continuation of box C. X X Patent family members are listed in annex. Special categories of cited documents: "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the "A" document defining the general state of the art which is not considered to be of particular relevance earlier document but published on or after the international "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to fling date document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person sidled in the art. "O" document referring to an oral disclosure, use, exhibition or document published prior to the international filing date but later than the priority date claimed "&" document member of the same patent family Date of the actual completion of the international search Date of mailing of the international search report 6 March 2000 16/03/2000 Name and mailing address of the ISA **Authorized officer** European Patent Office, P.B. 5818 Patentiaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo ni, Pedersen, N Fax: (+31-70) 340-3016



Inten. .anal Application No PCT/GB 99/03528

Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT	
tegory * Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
ZLOTKIN G ET AL: "Negotiation with incomplete information about worth: strict versus tolerant mechanisms" PROCEEDINGS OF INTERNATIONAL CONFERENCE ON INTELLIGENT AND COOPERATIVE INFORMATION SYSTEMS (CAT. NO.93TH0474-7), PROCEEDINGS OF INTERNATIONAL CONFERENCE ON INTELLIGENT AND COOPERATIVE INFORMATION SYSTEMS, ROTTERDAM, NETHERLANDS, 12-14 MAY 1993, pages 175-184, XP002132261 1993, Los Alamitos, CA, USA, IEEE Comput. Soc. Press, USA ISBN: 0-8186-3135-X page 177, column 2, line 16 -page 184, column 1, line 16	1-23
FARATIN P ET AL: "Negotiation decision functions for autonomous agents" ROBOTICS AND AUTONOMOUS SYSTEMS, NL, ELSEVIER SCIENCE PUBLISHERS, AMSTERDAM, vol. 24, no. 3-4, 30 September 1998 (1998-09-30), pages 159-182, XP004140670 ISSN: 0921-8890 page 159, line 1 -page 164, line 23	1-23
BINMORE K ET AL: "Applying game theory to automated negotiation" NETNOMICS, BALTZER, NETHERLANDS, vol. 1, no. 1, 5 October 1998 (1998-10-05), pages 1-9, XP002132262 ISSN: 1385-9587 Retrieved from the internet: http://searchpdf.adobe.com/proxies/0/34/4/68.html 3 March 2000. page 1, line 1 -page 8, line 8	1-23



information on patent family members

Intel anal Application No PCT/GB 99/03528

Patent document cited in search report		Publication dat	Patent family member()	Publication date
W0 9843190	Α	01-10-1998	NONE	

PA 5NT COOPERATION TREAT

	From the INTERNATIONAL BUREAU		
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(PCT Pulo 61.2)	United States Patent and Trademark		
(PCT Rule 61.2)	Office Box PCT		
	Washington, D.C.20231		
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Date of mailing (day/month/year) 21 June 2000 (21.06.00)	in its capacity as elected Office		
International application No. PCT/GB99/03528	Applicant's or agent's file reference		
	TRC/BP5809009		
International filing date (day/month/year)	Priority date (day/month/year)		
25 October 1999 (25.10.99)	23 October 1998 (23.10.98)		
Applicant			
VULKAN, Nir			
The designated Office is hereby notified of its election ma	de:		
X in the demand filed with the International Prelimina			
16 May 2000	(16.05.00)		
in a notice effecting later election filed with the Inte	rnational Rureau on:		
and house shooting later disadesh filed with the lifte	mational outeau on.		
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2. The election X was			
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made before the explication of 10 march of the second to			
Rule 32.2(b).	date or, where Rule 32 applies, within the time limit under		
·	•		
The International Bureau of WIPO	Authorized officer		
34, chemin des Colombettes 1211 Geneva 20, Switzerland	S. Mafla		
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(PCT Article 36 and Rule 70)

Applicant's	or agent's file reference		See Notification of Transmittal of International						
TRC/BP5	809009	FOR FURTHER ACTION	Preliminary Examination Report (Form PCT/IPEA/416)						
Internationa	application No.	International filing date (day/month	/year) Priority date (day/month/year)						
PCT/GB9	9/03528	25/10/1999	23/10/1998						
1	International Patent Classification (IPC) or national classification and IPC G06F17/60								
Applicant									
UNIVERS	SITY OF BRISTOL et al.								
	This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.								
2. This F	EPORT consists of a total of	10 sheets, including this cover	sheet.						
be (s	 This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT). These annexes consist of a total of sheets. 								
3. This re	eport contains indications rela	ating to the following items:	·						
1	☑ Basis of the report								
11	☐ Priority								
111	☑ Non-establishment of control	ppinion with regard to novelty, in	ventive step and industrial applicability						
IV	Lack of unity of invention	on							
V		nder Article 35(2) with regard to ons suporting such statement	novelty, inventive step or industrial applicability;						
VI	☐ Certain documents cit	ed							
VII	□ Certain defects in the in	nternational application							
VIII	☑ Certain observations o	n the international application							
Date of sub	nission of the demand	Date of	completion of this report						
16/05/200	00	21.11.2	000						
	nailing address of the internationa	Authoriz	ed officer						
preliminary	examining authority: European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 52365	· •	The state of the s						
	Fax: +49 89 2399 - 4465	Telepho	ne No. +49 89 2399 7484						

International application No. PCT/GB99/03528

I.	Bas	is of the report				
1.	resp the	onse to an invitation	rawn on the basis of (substitute sheets which have been furnished to the receiving Office in on under Article 14 are referred to in this report as "originally filed" and are not annexed to o not contain amendments (Rules 70.16 and 70.17).):			
	1-55	5	as originally filed			
	Clai	ms, No.:				
	1-24	ŀ	as originally filed			
	Dra	wings, sheets:				
	1-11		as originally filed			
2.			guage, all the elements marked above were available or furnished to this Authority in the international application was filed, unless otherwise indicated under this item.			
	The	se elements were a	available or furnished to this Authority in the following language: , which is:			
		the language of a	translation furnished for the purposes of the international search (under Rule 23.1(b)).			
		the language of pu	ublication of the international application (under Rule 48.3(b)).			
		the language of a 55.2 and/or 55.3).	translation furnished for the purposes of international preliminary examination (under Rule			
3.			cleotide and/or amino acid sequence disclosed in the international application, the ry examination was carried out on the basis of the sequence listing:			
		contained in the in	nternational application in written form.			
		filed together with	the international application in computer readable form.			
		furnished subsequ	uently to this Authority in written form.			
	☐ furnished subsequently to this Authority in computer readable form.					
	☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosur the international application as filed has been furnished.					
		The statement that listing has been full	at the information recorded in computer readable form is identical to the written sequence irnished.			
4.	The	amendments have	e resulted in the cancellation of:			
		the description,	pages:			

Nos.:

☐ the claims,

International application No. PCT/GB99/03528

		the drawings,	sheets:
5.			established as if (some of) the amendments had not been made, since they have been rond the disclosure as filed (Rule 70.2(c)):
		(Any replacement sh report.)	eet containing such amendments must be referred to under item 1 and annexed to this
6.	Add	litional observations, i	f necessary:
III.	Nor	n-establishment of o	pinion with regard to novelty, inventive step and industrial applicability
			laimed invention appears to be novel, to involve an inventive step (to be non-obvious), e have not been examined in respect of:
		the entire internation	al application.
	×	claims Nos. 1-24.	
be	caus	se:	
			application, or the said claims Nos. relate to the following subject matter which does ational preliminary examination (<i>specify</i>):
	☒	•	ns or drawings (indicate particular elements below) or said claims Nos. 1-24 are so ningful opinion could be formed (specify):
		the claims, or said clack	aims Nos. are so inadequately supported by the description that no meaningful opinion
		no international sear	ch report has been established for the said claims Nos
2.	and	9	Il preliminary examination report cannot be carried out due to the failure of the nucleotide nce listing to comply with the standard provided for in Annex C of the Administrative
		the written form has	not been furnished or does not comply with the standard.
		the computer readab	le form has not been furnished or does not comply with the standard.
VII	l. Ce	rtain defects in the i	nternational application

The following defects in the form or contents of the international application have been noted:

see separate sheet

International application No. PCT/GB99/03528

VIII. Certain observations on the internati nal application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

se separate sheet

Re Item III

Non-establishment of opinion with regard to novelty, inventive step and industrial applicability for claims 1-5

- 1 For independent claims 1, 4, 15, 20, 21 and 22, the reasons are set out in section VIII.
- 2 Since the dependent claims refer to invalid independent claims, no opinion can be established either.

Re Item VII

Certain defects in the international application

- 3 Reference is made to the following document:
 - D1 ZLOTKIN G ET AL: 'Negotiation with incomplete information about worth: strict versus tolerant mechanisms' PROCEEDINGS OF INTERNATIONAL CONFERENCE ON INTELLIGENT AND COOPERATIVE INFORMATION SYSTEMS (CAT. NO.93TH0474-7), PROCEEDINGS OF INTERNATIONAL CONFERENCE ON INTELLIGENT AND COOPERATIVE INFORMATION SYSTEMS, ROTTERDAM, NETHERLANDS, 12-14 MAY 1993, pages 175-184, XP002132261 1993, Los Alamitos, CA, USA, IEEE Comput. Soc. Press, USA ISBN: 0-8186-3135-X
- Independent claims 1, 4, 15, 20, 21 and 22 are not in the **two-part form** in accordance with Rule 6.3(b) PCT, which in the present case would be appropriate, with those features known in combination from the prior art (document D1) being placed in the preamble (Rule 6.3(b)(i) PCT) and with the remaining features being included in the characterising part (Rule 6.3(b)(ii) PCT).
- The features of all claims are not provided with **reference signs** placed in parentheses (Rule 6.2(b) PCT).
- 6 Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art

disclosed in the document D1 is not mentioned in the description, nor is this document identified therein.

Re Item VIII

Certain observations on the international application

- 7 The application does not meet the requirements of Article 6 PCT, because independent claims 1, 4, 15, 20, 21 and 22 are **not clear**.
- 8 Clarity of claim 1:
- 8.1 The expression "numerical confidence value" (line 10) is unclear. This is not a generally known and well defined technical term. A skilled person is unable to know how to compute such an unspecified value by an unspecified algorithm. The essential steps of the algorithm for computing this value should have been defined in the claim.
- 8.2 The claim attempt to define the subject-matter in terms of the **result to be achieved** which merely amounts to a statement of the underlying problem: the
 claim contains a step of **"regulating** the negotiation" (line 13) in a "method of **regulating** negotiation" (line 3). The **technical features** necessary for achieving
 this result are **missing**.
- 8.3 It is not clear what the expressions "**proposition**" (line 6) and "**hypothesis**" (line 8) mean in the context of a negotiation.
- 9 Clarity of claim 4:
- 9.1 The clarity objections of claim 1 apply accordingly.
- 9.2 The claim attempt to define the subject-matter in terms of the **result to be achieved** which merely amounts to a statement of the underlying problem: the
 claim contains a step of "negotiating" (line 7) in a "method of **negotiating**"
 (line 24). The **technical features** necessary for achieving this result are **missing**.

Clarity of claim 15: 10

- 10.1 The following expressions are unclear:
 - "monitoring" (line 4): Is "displaying" (or "outputting") meant? If so, what data should be displayed? How is this data computed?
 - "comparing the actual negotiation to the negotiating propositions" (line 9): In which values or physical measures are these abstract concepts counted and compared?
 - "a characteristic of the negotiation": There is a very high number of characteristics of a negotiation. Which one are of interest for the method? Even the characteristic "liability", stated in claim 16, is unclear since this term is not a well-defined technical term and a skilled person does not now how to measure the "liability".
- 10.2 The objections concerning "propositions", "hypothesis" (lines 7, 8) raised for claim 1 apply accordingly.

11 Clarity of claim 20:

- 11.1 It is not clear what is meant by "linking" (line 23). Are the symbolic or hard links as in the UNIX operating system meant? Or world wide web hyperlinks? However, both kinds of links seem not to be supported by the description.
- 11.2 The claim attempt to define the subject-matter in terms of the result to be achieved which merely amounts to a statement of the underlying problem: the claim contains a step of "linking" (line 6) in a "method of linking" (line 23). The technical features necessary for achieving this result are missing.
- 11.3 The following expressions are unclear:
 - "available data" (line 23): Which data is meant? How is this data computed?
 - "expected behaviour" (line 23): Whose behaviour? What is the formal definition of such a "behaviour"?

- 11.4 The objections concerning "num rical confidence valu ", "propositions", "hypothesis" (lines 26, 1) raised for claim 1 apply accordingly.
- 12 Clarity of claim 21:
- 12.1 The objections concerning method claim 1 apply accordingly to apparatus claim 21 since claim 21 only contain means that correspond to steps of claim 1.
- 13 Clarity of claim 22:
- 13.1 The objections concerning method claim 4 apply accordingly to apparatus claim 22 since claim 22 only contain means that correspond to steps of claim 4.
- 14 Conciseness:
- 14.1 Although method claims 1, 4, 15 and 20 and apparatus claims 21 and 22 have been drafted as separate independent claims, they appear to relate effectively to the same subject-matter and to differ from each other only with regard to the definition of the subject-matter for which protection is sought or in respect of the terminology used for the features of that subject-matter. The aforementioned claims therefore lack conciseness. Moreover, lack of clarity of the claims as a whole arises, since the plurality of independent claims makes it difficult, if not impossible, to determine the matter for which protection is sought, and places an undue burden on others seeking to establish the extent of the protection.
- 14.2 As to method **claim 1**, it appears that method **claims 15** have technical features for which this claim has **no equivalent**, e.g. "a characteristic" (claim 15, line 10). As well, **claim 1** has features for which **claims 15** has no equivalent, e.g. "numerical confidence value" (line 10).
- 14.3 However, it is clear from the PCT that the invention for which protection is sought must be clearly defined in the claims (Article 6), and that such a definition is accomplished by specifying all essential technical features in each independent claim (Rule 6.3 PCT). It follows that when, as in this case, only one invention is disclosed and a technical feature is included in one independent

claim but there is no quival nt in another independ nt claim, it is not clear what technical features are actually necessary for defining the invention, thus putting the matter for which protection is sought into doubt, in violation of Article 6 (see also PCT Guidelines Chapter III 2.1, 3.3, 4.4).

- 14.4 Therefore, it would have been necessary for the applicant to present in each category a single independent claim to the invention, having corresponding features, with dependent claims as appropriate to cover the applicant's preferred embodiments.
- The description does not satisfy Article 5 PCT, i.e. that the invention is not 15 disclosed in sufficient detail for a person skilled in the art to reproduce it.
- 15.1 The description does not disclose how to perform the two most important steps of the method and apparatus for negotiation, which are the step of computing numerical confidence values and the step of performing the negotiation using these values.

There is only one passage in the description which states that "there is a value of (the set of confidence values) P for each of the hypotheses in (the set of possible states) S" (page 22, line 24) without disclosing how this values should be initially computed. Also, Figure 4 (second box from the top) merely states: "set initial values of p(S_i)". As well, the examples on pages 27-55 fail to teach a generally applicable algorithm for this task which is the basis for all other computations (e.g. the "updating" on pages 44-48).

No passage in the description can be found that teaches how the negotiation or the regulation of a negotiation should be done using the confidence values from P. It is impossible for a skilled person to use the claimed method, to construct the claimed apparatus, or to program the claimed computer program product without being taught how the core of the method/apparatus/program works.

- 15.2 The following questions arise when a skilled person tries to implement the invention:
 - What are the "expectations" and the "available information" (Figure 4,

- second box from the top) on which the setting of the initial values of p(S_i) (i.e. the confidence values) is based? How are they determined? How are they measured?
- How is the negotiation result computed? Departing from which input data? By which algorithm? What are the computed output values? How do they depend on the input values?
- What is the "on-line new information" in the forth box from the top of Figure 4? How is it measured? How is the data-structure representing this "information"? How is it involved in further computations?
- How does the "reasoning system" (15) in Figure 6 work? What is its structure? How is it built? Does it perform the negotiation regulation task? If not, which other system performs this task? Does the "reasoning system" perform the task of negotiation? If not, which other system performs this task?
- 15.3 In order to overcome the above objections, reasoned arguments with evidenc, should have been submitted that the person skilled in the art could resolve all these questions, without inventiveness on his part, from the prior art or the current description.

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference		of Transmittal of international Search Report 20) as well as, where applicable, Item 5 below.					
TRC/BP5809009 International application No.	International filing date (day/month/year)	(Earliest) Priority Date (day/month/year)					
International application (Carymonal year)							
PCT/GB 99/03528	25/10/1999	23/10/1998					
Applicant							
UNIVERSITY OF BRISTOL et	al.						
	n prepared by this international Searching Auth	nority and is transmitted to the applicant					
according to Article 18. A copy is being to	ansmitted to the international Bureau.						
This International Search Report consists It is also accompanied by	of a total of sheets. a copy of each prior art document cited in this	report.					
1. Basis of the report							
	International search was carried out on the bas less otherwise indicated under this item.	els of the international application in the					
the international search w Authority (Rule 23.1(b)).	as carried out on the basis of a translation of the	he International application furnished to this					
b. With regard to any nuclectide an was carried out on the basis of the		ternational application, the international search					
contained in the internation	onal application in written form.						
filed together with the inte	mational application in computer readable form	n.					
furnished subsequently to	this Authority in written form.						
	this Authority in computer readble form.						
the statement that the sub- international application a	sequently furnished written sequence listing d is filed has been furnished.	oes not go beyond the disclosure in the					
the statement that the info	ormation recorded in computer readable form is	s Identical to the written sequence listing has been					
2. Certain claims were fou	nd unsearchable (See Box I).						
3. Unity of invention is lac	king (see Box II).						
4. With regard to the title,							
X the text is approved as su	bmitted by the applicant.						
the text has been established by this Authority to read as follows:							
5. With regard to the abstract,							
The text is approved as submitted by the applicant.							
the text has been established, according to Rul 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.							
6. The figure of the drawings to be publ	ished with the abstract is Figure No.	1					
as suggested by the appli	cant.	None of the figures.					
because the applicant fall	ed to suggest a figure.						
because this figure better	characterizes the invention.						



GB 99/03528

A.	CLA	SSIFIC	ATION	OF	SUBJ	ECT	MAT	TER
TF	C '	7 (GOGE	17	760	1		

According to international Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols) $IPC \ 7 \ G06F$

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

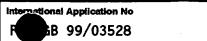
Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

C. DOCUM	C. DOCUMENTS CONSIDERED TO BE RELEVANT						
Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.					
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X Further documents are listed in the continuation of box C.	Patent family members are listed in annex.
 Special categories of cited documents: "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier document but published on or after the International filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the International filing date but later than the priority date claimed 	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art. "&" document member of the same patent family
Date of the actual completion of the international search 6 March 2000	Date of mailing of the International search report 16/03/2000
Name and mailing address of the ISA European Patent Office, P.B. 5818 Patentiaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo ni, Fax: (+31-70) 340-3018	Authorized officer Pedersen, N

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